

*FORM PTO-1390
OFFICE
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK

ATTORNEY'S DOCKET NUMBER

524062000201

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. § 371**U.S. APPLICATION NO. (If known, see 37 CFR 1.5)
09/936,094

INTERNATIONAL APPLICATION NO.

PCT/US00/06001

INTERNATIONAL FILING DATE

March 8, 2000

PRIORITY DATE CLAIMED

March 8, 1999

TITLE OF INVENTION

METHODS AND COMPOSITIONS FOR TARGETED DRUG DELIVERY

APPLICANT(S) FOR DO/EO/US

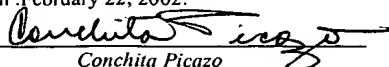
Gerhart GRAUPNER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

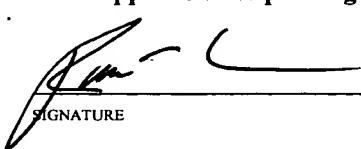
1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application under PCT Article 19 (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) SIGNED and it is enclosed.
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

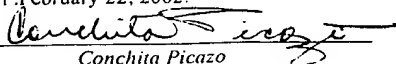
Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: copy of Notification of Missing Requirements and return receipt postcard.

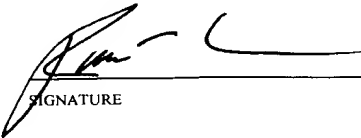
CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on February 22, 2002.


Conchita Picazo

U.S. APPLICATION NO. (if known, see 37 CFR 1.57)		INTERNATIONAL APPLICATION NO. PCT/US00/06001		ATTORNEY'S DOCKET NUMBER: 524062000201	
21. <input type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1,000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provision of PCT Article 33(1)-(4)\$690.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00				CALCULATIONS PTO USE ONLY	
ENTER APPROPRIATE BASIC FEE AMOUNT =					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims					
Independent claims					
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$0	
TOTAL OF ABOVE CALCULATIONS =				130.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					
SUBTOTAL =				65.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				65.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				65.00	
03/21/2002 MALI11 00000003 031952 09936094 01 FC:254 65.00 CH				Amount to be refunded: charged:	\$0 \$65.00
a. <input type="checkbox"/> A check in the amount of \$* to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 03-1952 (524062000201) in the amount of \$65.00 to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to Deposit Account No. 03-1952 . (524062000201) A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: Randolph Ted Apple Morrison & Foerster LLP 755 Page Mill Road Palo Alto, California 94304-1018					
 SIGNATURE				2/23/02 Date	
Randolph Ted Apple Registration No. 36,429					

*FORM PTO-1390 OFFICE (REV 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK		ATTORNEY'S DOCKET NUMBER 524062000201	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. § 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/936,094	
INTERNATIONAL APPLICATION NO. PCT/US00/06001		INTERNATIONAL FILING DATE March 8, 2000		PRIORITY DATE CLAIMED March 8, 1999	
TITLE OF INVENTION METHODS AND COMPOSITIONS FOR TARGETED DRUG DELIVERY					
APPLICANT(S) FOR DO/EO/US Gerhart GRAUPNER					
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11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: copy of Notification of Missing Requirements and return receipt postcard.					
CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"					
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on February 22, 2002.					
 Conchita Picazo					

**DUPLICATE COPY
FOR FEE PROCESSING**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) *		INTERNATIONAL APPLICATION NO. PCT/US00/06001		ATTORNEY'S DOCKET NUMBER: 524062000201	
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ENTER APPROPRIATE BASIC FEE AMOUNT =					
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims					
Independent claims					
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$0	
TOTAL OF ABOVE CALCULATIONS =				130.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					
SUBTOTAL =				65.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
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TOTAL FEES ENCLOSED =				65.00	
				Amount to be refunded:	\$0
				charged:	\$65.00
a. <input type="checkbox"/> A check in the amount of \$* to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 03-1952 (524062000201) in the amount of \$65.00 to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to Deposit Account No. 03-1952 . (524062000201) A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
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SEND ALL CORRESPONDENCE TO: Randolph Ted Apple Morrison & Foerster LLP 755 Page Mill Road Palo Alto, California 94304-1018					
 SIGNATURE				2/23/02 Date	
Randolph Ted Apple Registration No. 36,429					



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER OF PATENTS, TRADE AND
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20503

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/936,094	Gerhart Graupner	524062000201

INTERNATIONAL APPLICATION NO.

PCT/US00/04001

LA. FILING DATE	PRIORITY DATE
-----------------	---------------

03/08/2000

03/08/1999

Randolph T. Apple
 Morrison & Foerster
 755 Page Mill Road
 Palo Alto, CA 94304-1018

CONFIRMATION NO. 9290

371 FORMALITIES LETTER



OC00000007277818

Date Mailed: 01/08/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$65 Surcharge for providing the oath or declaration later than the appropriate 20 months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PAULETTE R KIDWELL

Telephone: (703) 305-3656

PART 2 - OFFICE COPY

U.S. APPLICATION NUMBER NO	INTERNATIONAL APPLICATION NO.	ATTY DOCKET NO
09/936,094	PCT/US00/06001	524062000201